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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/976,750	10/12/2001	Manoel Tenorio	020431.0919	4508
53184 7590 01/24/2007 i2 TECHNOLOGIES US, INC. ONE i2 PLACE, 11701 LUNA ROAD DALLAS, TX 75234			EXAMINER LIU, I JUNG	
			ART UNIT 3691	PAPER NUMBER

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	01/24/2007	PAPER

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

## Office Action Summary

Application No.

09/976,750

Applicant(s)

TENORIO, MANOEL

Examiner

Marissa Liu

Art Unit

3691

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 12 October 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-32 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-32 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 12 October 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 04/26/2004 and 11/28/2001.
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- ☐ Notice of Informal Patent Application
- ☐ Other: \_\_\_\_\_

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1-32 are rejected under 35 U.S.C. 102(b) as being unpatentable by Lupien et al., U.S. Patent No.: 6,098,051 (PTO-892 reference3 A).

3. As per claim 1, Lupien et al. teaches a system for displaying strikes between bids and asks in a market over time, each strike specifying values for a plurality of strike variables, the system comprising a computer system operable to:

receive data for a plurality of strikes, the data reflecting values specified in the strikes for a plurality of strike variables (see abstract and column 4, lines 27-48, where “matches buy and sell orders” is equivalent of “strikes”);

generate a display of the received data, the display comprising:

a plurality of polygons, each polygon representing a strike between a bid and an ask (see abstract, column 4, lines 27-48 and column 12, lines 31-37, where “matches buy and sell orders” of abstract is equivalent of “a strike between a bid and an ask”), each polygon comprising a plurality of contiguous parallelograms each associated with one or more different strike variables, one or more dimensions of each parallelogram each reflecting a value specified in the represented strike for one of the strike variables associated with the

Art Unit: 3691

parallelogram (see Fig. 2, Fig. 6., Fig. 9B, and column 10, lines 53-64, where “square” is equivalent of “parallelogram”).

a strike variable axis representing a range of values for an additional strike variable for which no value is reflected in the parallelograms, each polygon being positioned with respect to the strike variable axis according to the value specified in the represented strike for the additional strike variable represented by the strike variable axis (see Fig. 7 and Fig. 9A); and

a time axis that is substantially perpendicular to the strike variable axis, each polygon being positioned with respect to the time axis according to a time at which the represented strike occurred (see abstract, Fig. 2, Figs. 6-7 and Figs. 9A-9B).

4. As per claim 2, Lupien et al. teaches the system of Claim 1 described above. Lupien et al. further teaches wherein a user selects the strike variables for which values are reflected in the parallelograms and selects the additional strike variable represented by the strike variable axis (see Fig. 2, Fig. 6., Fig. 9B, and column 9, lines 23-38).

5. As per claim 3, Lupien et al. teaches the system of Claim 1 described above. Lupien et al. further teaches wherein the computer system is operable to switch the additional strike variable represented by the strike variable axis with one of the strike variables for which values are reflected in the parallelograms in response to user input (see Fig. 2, Fig. 6., Fig. 9B, and column 9, lines 23-60).

6. As per claim 4, Lupien et al. teaches the system of Claim 1 described above. Lupien further teaches wherein the strike variables for which values are specified in the strikes comprise strike price, strike quantity, and at least one additional strike variable (see abstract).

Art Unit: 3691

7. As per claim 5, Lupien et al. teaches the system of Claim 1 described above. Lupien et al. further teaches wherein:

each polygon comprises first and second contiguous parallelograms, a first dimension of the first parallelogram reflecting a first value specified in the represented strike for a first strike variable, a second dimension of the first parallelogram reflecting a second value specified in the represented strike for a second strike variable, a first dimension of the second parallelogram reflecting a third value specified in the represented strike for a third strike variable, and a second dimension of the second parallelogram reflecting a fourth value specified in the represented strike for a fourth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the strike variable axis represents a fifth strike variable and includes a range of values for the fifth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the strike variable axis is substantially vertical (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the time axis is substantially horizontal (see Fig. 2, Figs. 6-7 and Figs. 9A-9B); and

each polygon is positioned with respect to the strike variable axis such that the border between the two contiguous parallelograms forming the polygon is aligned with a point along the strike variable axis corresponding to the value specified in the represented offer for the fifth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

8. As per claim 6, Lupien et al. teaches the system of Claim 5 described above. Lupien et al. further teaches wherein the fifth strike variable comprises strike price (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

9. As per claim 7, Lupien et al. teaches the system of Claim 1 described above. Lupien et al. further teaches wherein the computer system is further operable to:

Art Unit: 3691

generate a filter comprising one or more strike criteria (see abstract, Fig. 2, Figs. 6-7 and Figs. 9A-9B);

generate a first window within the display, the first window comprising polygons representing strikes without regard to whether the strikes meet the strike criteria within the filter; and generate a second window within the display, the second window comprising only polygons representing strikes that meet the strike criteria within the filter (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

10. As per claim 8, Lupien et al. teaches the system of Claim 7 described above. Lupien et al. further teaches wherein the strike criteria comprise at least one value specified in a strike being within a particular range of values and at least one of the bid and the ask matched to form a strike being from an approved market participant (see abstract).

11. As per claim 9, Lupien et al teaches the system of Claim 7 described above. Lupien et al. further teaches the strike criteria are provided by a user (see abstract).

12. As per claim 10, Lupien et al. teaches the system of Claim 1 described above. Lupien et al. further teaches the market comprises an exchange-based market (see column 6, lines 21-24).

13. As per claim 11, Lupien et al. teaches a method for displaying strikes between bids and asks in a market over time, each strike specifying values for a plurality of strike variables, the system comprising a computer system operable to:

receive data for a plurality of strikes, the data reflecting values specified in the strikes for a plurality of strike variables (see abstract and column 4, lines 27-48, where “matches buy and sell orders” is equivalent of “strikes”);  
generate a display of the received data, the display comprising:

a plurality of polygons, each polygon representing a strike between a bid and an ask (see abstract, column 4, lines 27-48 and column 12, lines 31-37, where “matches buy and sell orders” of abstract is equivalent of “a strike between a bid and an ask”), each polygon comprising a plurality of contiguous parallelograms each associated with one or more different strike variables, one or more dimensions of each parallelogram each reflecting a value specified in the represented strike for one of the strike variables associated with the parallelogram (see Fig. 2, Fig. 6., Fig. 9B, and column 10, lines 53-64, where “square” is equivalent of “parallelogram”).

a strike variable axis representing a range of values for an additional strike variable for which no value is reflected in the parallelograms, each polygon being positioned with respect to the strike variable axis according to the value specified in the represented strike for the additional strike variable represented by the strike variable axis (see Fig. 7 and Fig. 9A); and

a time axis that is substantially perpendicular to the strike variable axis, each polygon being positioned with respect to the time axis according to a time at which the represented strike occurred (see abstract, Fig. 2, Figs. 6-7 and Figs. 9A-9B).

14. As per claim 12, Lupien et al. teaches the method of Claim 11 described above. Lupien et al. further teaches wherein a user selects the strike variables for which values are reflected in the parallelograms and selects the additional strike variable represented by the strike variable axis (see Fig. 2, Fig. 6., Fig. 9B, and column 9, lines 23-38).

15. As per claim 13, Lupien et al. teaches the method of Claim 11 described above. Lupien et al. further teaches wherein the computer system is operable to switch the additional strike variable represented by the strike variable axis with one of the strike variables for which values

Art Unit: 3691

are reflected in the parallelograms in response to user input (see Fig. 2, Fig. 6., Fig. 9B, and column 9, lines 23-60).

16. As per claim 14, Lupien et al. teaches the method of Claim 11 described above. Lupien further teaches wherein the strike variables for which values are specified in the strikes comprise strike price, strike quantity, and at least one additional strike variable (see abstract).

17. As per claim 15, Lupien et al. teaches the method of Claim 11 described above. Lupien et al. further teaches wherein:

each polygon comprises first and second contiguous parallelograms, a first dimension of the first parallelogram reflecting a first value specified in the represented strike for a first strike variable, a second dimension of the first parallelogram reflecting a second value specified in the represented strike for a second strike variable, a first dimension of the second parallelogram reflecting a third value specified in the represented strike for a third strike variable, and a second dimension of the second parallelogram reflecting a fourth value specified in the represented strike for a fourth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the strike variable axis represents a fifth strike variable and includes a range of values for the fifth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the strike variable axis is substantially vertical (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the time axis is substantially horizontal (see Fig. 2, Figs. 6-7 and Figs. 9A-9B); and

each polygon is positioned with respect to the strike variable axis such that the border between the two contiguous parallelograms forming the polygon is aligned with a point along the strike variable axis corresponding to the value specified in the represented offer for the fifth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).



Art Unit: 3691

18. As per claim 16, Lupien et al. teaches the method of Claim 15 described above. Lupien et al. further teaches wherein the fifth strike variable comprises strike price (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

19. As per claim 17, Lupien et al. teaches the method of Claim 11 described above. Lupien et al. further teaches wherein the computer system is further operable to:

generate a filter comprising one or more strike criteria (see abstract, Fig. 2, Figs. 6-7 and Figs. 9A-9B);

generate a first window within the display, the first window comprising polygons representing strikes without regard to whether the strikes meet the strike criteria within the filter; and generate a second window within the display, the second window comprising only polygons representing strikes that meet the strike criteria within the filter (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

20. As per claim 18, Lupien et al. teaches the method of Claim 17 described above. Lupien et al. further teaches wherein the strike criteria comprise at least one value specified in a strike being within a particular range of values and at least one of the bid and the ask matched to form a strike being from an approved market participant (see abstract).

21. As per claim 19, Lupien et al teaches the method of Claim 17 described above. Lupien et al. further teaches the strike criteria are provided by a user (see abstract).

22. As per claim 20, Lupien et al. teaches the method of Claim 11 described above. Lupien et al. further teaches the market comprises an exchange-based market (see column 6, lines 21-24).

Art Unit: 3691

23. As per claim 21, Lupien et al. teaches software for displaying strikes between bids and asks in a market over time, each strike specifying values for a plurality of strike variables, the software embodied in computer readable media and when executed operable to:

receive data for a plurality of strikes, the data reflecting values specified in the strikes for a plurality of strike variables (see abstract and column 4, lines 27-48, where “matches buy and sell orders” is equivalent of “strikes”);

generate a display of the received data, the display comprising:

a plurality of polygons, each polygon representing a strike between a bid and an ask (see abstract, column 4, lines 27-48 and column 12, lines 31-37, where “matches buy and sell orders” of abstract is equivalent of “a strike between a bid and an ask”), each polygon comprising a plurality of contiguous parallelograms each associated with one or more different strike variables, one or more dimensions of each parallelogram each reflecting a value specified in the represented strike for one of the strike variables associated with the parallelogram (see Fig. 2, Fig. 6., Fig. 9B, and column 10, lines 53-64, where “square” is equivalent of “parallelogram”).

a strike variable axis representing a range of values for an additional strike variable for which no value is reflected in the parallelograms, each polygon being positioned with respect to the strike variable axis according to the value specified in the represented strike for the additional strike variable represented by the strike variable axis (see Fig. 7 and Fig. 9A); and

a time axis that is substantially perpendicular to the strike variable axis, each polygon being positioned with respect to the time axis according to a time at which the represented strike occurred (see abstract, Fig. 2, Figs. 6-7 and Figs. 9A-9B).

Art Unit: 3691

24. As per claim 22, Lupien et al. teaches the software of Claim 21 described above. Lupien et al. further teaches wherein a user selects the strike variables for which values are reflected in the parallelograms and selects the additional strike variable represented by the strike variable axis (see Fig. 2, Fig. 6., Fig. 9B, and column 9, lines 23-38).

25. As per claim 23, Lupien et al. teaches the software of Claim 21 described above. Lupien et al. further teaches wherein the computer system is operable to switch the additional strike variable represented by the strike variable axis with one of the strike variables for which values are reflected in the parallelograms in response to user input (see Fig. 2, Fig. 6., Fig. 9B, and column 9, lines 23-60).

26. As per claim 24, Lupien et al. teaches the software of Claim 21 described above. Lupien further teaches wherein the strike variables for which values are specified in the strikes comprise strike price, strike quantity, and at least one additional strike variable (see abstract).

27. As per claim 25, Lupien et al. teaches the software of Claim 21 described above. Lupien et al. further teaches wherein:

each polygon comprises first and second contiguous parallelograms, a first dimension of the first parallelogram reflecting a first value specified in the represented strike for a first strike variable, a second dimension of the first parallelogram reflecting a second value specified in the represented strike for a second strike variable, a first dimension of the second parallelogram reflecting a third value specified in the represented strike for a third strike variable, and a second dimension of the second parallelogram reflecting a fourth value specified in the represented strike for a fourth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the strike variable axis represents a fifth strike variable and includes a range of values for the fifth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the strike variable axis is substantially vertical (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

the time axis is substantially horizontal (see Fig. 2, Figs. 6-7 and Figs. 9A-9B); and

each polygon is positioned with respect to the strike variable axis such that the border between the two contiguous parallelograms forming the polygon is aligned with a point along the strike variable axis corresponding to the value specified in the represented offer for the fifth strike variable (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

28. As per claim 26, Lupien et al. teaches the software of Claim 25 described above. Lupien et al. further teaches wherein the fifth strike variable comprises strike price (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

29. As per claim 27, Lupien et al. teaches the software of Claim 21 described above. Lupien et al. further teaches wherein the computer system is further operable to:

generate a filter comprising one or more strike criteria (see abstract, Fig. 2, Figs. 6-7 and Figs. 9A-9B);

generate a first window within the display, the first window comprising polygons representing strikes without regard to whether the strikes meet the strike criteria within the filter; and generate a second window within the display, the second window comprising only polygons representing strikes that meet the strike criteria within the filter (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

30. As per claim 28, Lupien et al. teaches the software of Claim 27 described above. Lupien et al. further teaches wherein the strike criteria comprise at least one value specified in a strike

Art Unit: 3691

being within a particular range of values and at least one of the bid and the ask matched to form a strike being from an approved market participant (see abstract).

31. As per claim 29, Lupien et al teaches the software of Claim 27 described above. Lupien et al. further teaches the strike criteria are provided by a user (see abstract).

32. As per claim 30, Lupien et al. teaches the software of Claim 21 described above. Lupien et al. further teaches the market comprises an exchange-based market (see column 6, lines 21-24).

31. As per claim 31, Lupien et al. teaches a system for displaying strikes between bids and asks in a market over time, each strike specifying values for a plurality of strike variables, the system comprising:

means for receiving data for a plurality of strikes, the data reflecting values specified in the strikes for a plurality of strike variables (see abstract and column 4, lines 27-48, where “matches buy and sell orders” is equivalent of “strikes”); and

means for generating a display of the received data, the display comprising:

a plurality of polygons, each polygon representing a strike between a bid and an ask (see abstract, column 4, lines 27-48 and column 12, lines 31-37, where “matches buy and sell orders” of abstract is equivalent of “a strike between a bid and a ask”), each polygon comprising a plurality of contiguous parallelograms each associated with one or more different strike variables, one or more dimensions of each parallelogram each reflecting a value specified in the represented strike for one of the strike variables associated with the parallelogram (see Fig. 2, Fig. 6, Fig. 9B, and column 10, lines 53-64);

Art Unit: 3691

a strike variable axis representing a range of values for an additional strike variable for which no value is reflected in the parallelograms, each polygon being positioned with respect to the strike variable axis according to the value specified in the represented strike for the additional strike variable represented by the strike variable axis (see Fig. 7 and Fig. 9A); and

a time axis that is substantially perpendicular to the strike variable axis, each polygon being positioned with respect to the time axis according to a time at which the represented strike occurred (see Fig. 2, Fig. 6, Fig. 9B, and column 10, lines 53-64).

32. As per claim 32, Lupien et al. teaches a system for displaying strikes between bids and asks in a market over time, each strike specifying values for a plurality of strike variables, the strike variables comprising strike price, strike quantity, and at least one additional strike variable, the system comprising a computer system operable to:

receive data for a plurality of strikes, the data reflecting values specified in the strikes for a plurality of strike variables see abstract and column 4, lines 27-48, where “matches buy and sell orders” is equivalent of “strikes”); and

generate a display of the received data, the display comprising:

a plurality of polygons, each polygon representing a strike between a bid and an ask (see abstract, column 4, lines 27-48 and column 12, lines 31-37, where “matches buy and sell orders” of abstract is equivalent of “a strike between a bid and a ask”), each polygon comprising first and second contiguous parallelograms each associated with one or more different strike variables, a first dimension of the first parallelogram reflecting a first value specified in the represented strike for a first strike variable, a second dimension of the first parallelogram reflecting a second value specified in the represented strike for a second strike variable, a first dimension of the second

Art Unit: 3691

parallelogram reflecting a third value specified in the represented strike for a third strike variable, and a second dimension of the second parallelogram reflecting a fourth value specified in the represented strike for a fourth strike variable, the first, second, third, and fourth strike variables being selected by a user (see Fig. 2, Figs. 6-7 and Figs. 9A-9B);

a strike variable axis representing a range of values for a fifth strike variable, the fifth strike variable being selected by the user, each polygon being positioned with respect to the strike variable axis according to the value specified in the represented strike for the additional strike variable represented by the strike variable axis (see Fig. 2, Figs. 6-7 and Figs. 9A-9B); and

a time axis that is substantially perpendicular to the strike variable axis, each polygon being positioned with respect to the time axis according to a time at which the represented strike occurred (see Fig. 2, Figs. 6-7 and Figs. 9A-9B).

### ***Conclusion***


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Marissa Liu whose telephone number is 571-270-1370. The examiner can normally be reached on First Friday OFF.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Patrick James Nolan can be reached on 571-270-0847. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 3691

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

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